SECURITIES AND EXCHANGE COMMISSION


Self-Regulatory Organizations; Chicago Stock Exchange, Inc.: Notice of Filing and Immediate Effectiveness of Proposed Rule Change To Alter Its Fee Schedule To Increase Its DEA Fees

November 8, 2012.

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934 (“Act”) and Rule 19b–4 thereunder, notice is hereby given that on November 1, 2012, the Chicago Stock Exchange, Inc. (“CHX” or “Exchange”) filed with the Securities and Exchange Commission (“Commission”) the proposed rule change as described in Items I, II and III below, which Items have been prepared by the Exchange. CHX has filed the proposal pursuant to Section 19(b)(3)(A) of the Act and Rule 19b–4(f)(2) thereunder, which renders the proposal effective upon filing with the Commission. The Commission is publishing this notice to solicit comments on the proposed rule change from interested persons.

I. Self-Regulatory Organization’s Statement of the Terms of the Substance of the Proposed Rule Change

The Exchange proposes to amend its Schedule of Participant Fees and Assessments (the “Fee Schedule”), effective November 1, 2012, to alter its schedule of fees for Participants relating to its DEA fees and reorder items in the Fee Schedule. The text of this proposed rule change is available on the Exchange’s Web site at http://www.chx.com/rules/proposed_rules.htm and in the Commission’s Public Reference Room, 100 F Street NE., Washington, DC 20549.

II. Self-Regulatory Organization’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

In its filing with the Commission, the CHX included statements concerning the purpose of and basis for the proposed rule changes and discussed any comments it received regarding the proposal. The text of these statements may be examined at the places specified in Item IV below. The CHX has prepared summaries, set forth in sections A, B and C below, of the most significant aspects of such statements.

A. Self-Regulatory Organization’s Statement of the Purpose of, and Statutory Basis for, the Proposed Rule Change

1. Purpose

Through this filing, the Exchange proposes to amend its Schedule of Participant Fees and Assessments (the “Fee Schedule”), effective November 1, 2012, to amend its existing DEA fees and reorder items in the Fee Schedule. This fee change is being proposed in response to the increased importance and expense of the Exchange’s regulatory efforts and competitive pricing pressures and to ensure that the Fee Schedule’s numbering system is consistent.

The Exchange proposes to increase its DEA fees to reflect increased current and planned expenses related to the Exchange’s regulatory responsibilities. Currently, the Exchange’s DEA fee is $1,000 per month for each firm for which the Exchange is its DEA. Through this filing, the Exchange proposes increasing the DEA fee to $1,200 per month. As the Exchange participates in a highly competitive market in which regulatory costs are continually increasing, the Exchange believes that increasing its DEA fees will help enable the Exchange to continue to fulfill its regulatory responsibilities.

The Exchange also proposes to renumber certain items in its Fee Schedule to correct the inadvertent absence of “K” in its numbering system. Specifically, the Fee Schedule skipped letter “K” and numbered “J.” to “L.” Correctly, the Exchange proposes to renumber items “L.” through “P.” to incorporate “K.” into its numbering scheme. No other changes to these rules are being proposed at this time.

2. Statutory Basis

The Exchange believes that the proposed rule changes are consistent with Section 6(b)(5) of the Act and Rule 19b–4 thereunder, because it establishes or changes a due, fee or other charge applicable to the Exchange’s members and non-members, which renders the proposed rule change effective upon filing.

At any time within 60 days of the filing of the proposed rule change, the Commission summarily may temporarily suspend such rule change if it appears to the Commission that such action is necessary or appropriate in the public interest, for the protection of investors, or otherwise in furtherance of the purposes of the Act.

IV. Solicitation of Comments

Interested persons are invited to submit written data, views, and arguments concerning the foregoing, including whether the proposed rule change is consistent with the Act. Comments may be submitted by any of the following methods:

Electronic Comments

• Use the Commission’s Internet comment form (http://www.sec.gov/rules/sro.shtml); or
• Send an email to rule-comments@sec.gov. Please include File Number SR–CHX–2012–17 on the subject line.

SECURITIES AND EXCHANGE COMMISSION

[Release No. 34–68183; File No. SR–
NYSEMKT–2012–54]

Self-Regulatory Organizations; NYSE
MKT LLC; Notice of Filing and
Immediate Effectiveness of Proposed
Rule Change To Increase the Options
Regulatory Fee and To Revise the
Circumstances Under Which NYSE
Amex Options LLC Will Collect the
Options Regulatory Fee

November 8, 2012.

Pursuant to Section 19(b)(1) 1 of the
Securities Exchange Act of 1934 (the
“Act”) 2 and Rule 19b–4 thereunder, 3
notice is hereby given that, on
November 7, 2012, NYSE MKT LLC (the
“Exchange” or “NYSE MKT”) filed with
the Securities and Exchange
Commission (the “Commission”) the
proposed rule change as described in
Items I, II, and III below, which Items
have been prepared by the self-
regulatory organization. The
Commission is publishing this notice to
solicit comments on the proposed rule
change from interested persons.

I. Self-Regulatory Organization’s
Statement of the Terms of the Substance
of the Proposed Rule Change

The Exchange proposes to amend the
NYSE Amex Options Fee Schedule to
increase its Options Regulatory Fee
(“ORF”) and to revise the circumstances
under which the Exchange will collect
the ORF. The text of the proposed rule
change is available on the Exchange’s
Web site at www.nyse.com, at the
principal office of the Exchange, and at
the Commission’s Public Reference
Room.

II. Self-Regulatory Organization’s
Statement of the Purpose of, and
Statutory Basis for, the Proposed Rule
Change

In its filing with the Commission, the
self-regulatory organization included
statements concerning the purpose of,
and basis for, the proposed rule change
and discussed any comments it received
on the proposed rule change. The text
of those statements may be examined
at the places specified in Item IV below.

The Exchange proposes to (1) increase
the ORF from $0.004 per contract to
$0.005 per contract in order to recoup
increased regulatory expenses while
also monitoring the revenue collected so
that the ORF will not exceed such
expenses, and (2) revise


(May 4, 2011), 76 FR 27118 (May 10, 2011) (SR–